



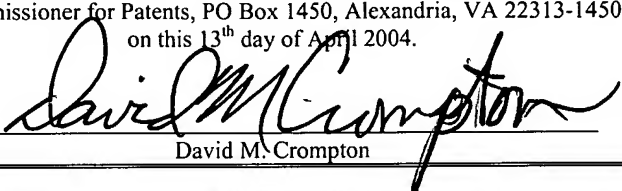
**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Kevin Richardson et al. Confirmation No.: Unknown  
Serial No.: 10/767,981 Examiner: Unknown  
Filing Date: January 29, 2004 Group Art Unit: Unknown  
Docket No.: 1001.1435102 Customer No.: 28075  
For: C-CHANNEL TO O-CHANNEL CONVERTER FOR A SINGLE OPERATOR  
EXCHANGE BILIARY CATHETER

***TRANSMITTAL SHEET***

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

<p><b><u>CERTIFICATE UNDER 37 C.F.R. § 1.8:</u></b> I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450 on this 13<sup>th</sup> day of April 2004.</p> <p>By  David M. Crompton</p>
---

We are transmitting herewith the attached:

- ☐ Amendment  
☐ No additional claim fee required  
☐ The claim fee has been calculated as shown:

CLAIMS AS AMENDED							
	(3)	(4)	(5)	SMALL ENTITY		OTHER	
	REMAINING CLAIMS	HIGHEST PAID	EXTRA	RATE	ADD'L FEE	RATE	ADD'L FEE
TOTAL CLAIMS	-	=		X 9=	\$	X 18=	\$
INDEPENDENT CLAIMS	-	=		X 43=	\$	X 86 =	\$
( ) FIRST MULTIPLE DEPENDENT CLAIM				+ 145 =	\$	+ 290 =	\$
TOTAL				\$		\$	

[ ] A check in the amount of \$\_\_\_\_\_ is enclosed. Itemization:

Fee Code \_\_\_\_\_ \$

Fee Code \_\_\_\_\_ \$

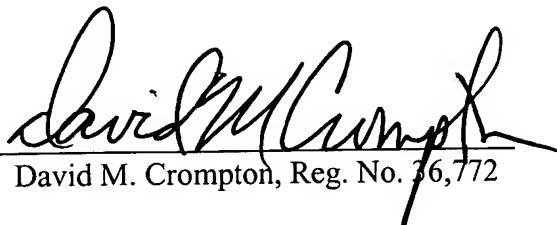
Fee Code \_\_\_\_\_ \$

[ ] Small entity status of this application under 37 C.F.R. §§ 1.9 and 1.27 has been established.

[XX] Other: Information Disclosure Statement, Form PTO-1449 and 15 cited non-U.S. patent/publication references.

[XX] Return Receipt Postcard (MPEP 503).

[XXXX] Please charge any deficiencies or credit any overpayment in the enclosed fees to Deposit Account No. 50-0413.

By:   
David M. Crompton, Reg. No. 36,772

David M. Crompton  
CROMPTON, SEAGER & TUFTE, LLC  
1221 Nicollet Avenue, Suite 800  
Minneapolis, MN 55403-2420  
Telephone: (612) 677-9050  
Facsimile: (612) 359-9349



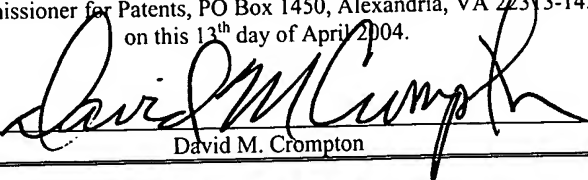
PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Kevin Richardson et al.  
Serial No.: 10/767,981  
Filing Date: January 29, 2004  
Docket No.: 1001.1435102

Confirmation No.: Unknown  
Examiner: Unknown  
Group Art Unit: Unknown  
Customer No.: 28075

**INFORMATION DISCLOSURE STATEMENT**

<p><b><u>CERTIFICATE UNDER 37 C.F.R. § 1.8:</u></b> I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450 on this 13<sup>th</sup> day of April 2004.</p> <p>By  David M. Crompton</p>
--

Dear Sir:

Pursuant to the obligations of candor and good faith imposed by 37 C.F.R. § 1.56, the documents listed on the attached PTO-1449 are hereby disclosed.

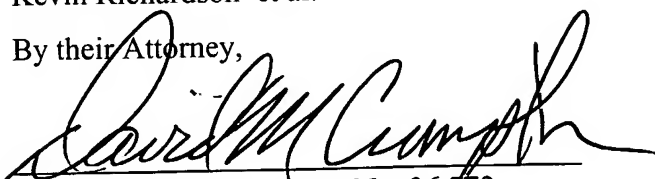
In accordance with 37 C.F.R. § 1.98(a)(2), a copy of each non-U.S. patent/publication document or other information listed on the enclosed Form PTO-1449 is provided.

No representation is intended to be made hereby that any of the cited references establishes, by itself or in combination with other information, a prima facie case of unpatentability of any claim of the present case.

Respectfully submitted,

Kevin Richardson et al.

By their Attorney,



David M. Crompton, Reg. No. 36,772  
CROMPTON, SEAGER & TUFTE, LLC  
1221 Nicollet Avenue, Suite 800  
Minneapolis, MN 55403-2420  
Telephone: (612) 677-9050  
Facsimile: (612) 359-9349

Date: 4/13/04



<b>FORM PTO-1449</b>  LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT	Atty. Docket No.: 1001.1435102	Serial No.: 10/767,981
	Kevin Richardson et al.	
	Confirmation No.: Unknown	
	Filing Date: January 29, 2004	Group Art: Unknown

U.S. PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Name	Filing Date If Appropriate
AA	B1/4,762,129	07/02/1991	Bonzel	
AB	RE 31,855	03/26/1985	Osborne	
AC	1,204,053	11/07/1916	Moore	
AD	2,623,520	12/30/1952	Bamford, Jr. et al.	
AE	3,015,869	01/09/1962	Rapata	
AF	3,536,281	10/27/1970	Meehan et al.	
AG	4,345,606	08/24/1982	Littleford	
AH	4,696,668	09/29/1987	Wilcox	
AI	4,748,982	06/07/1988	Horzewski et al.	
AJ	4,762,129	08/09/1988	Bonzel	
AK	4,771,777	09/20/1988	Horzewski et al.	
AL	4,781,677	11/01/1988	Wilcox	
A M	4,835,824	06/06/1989	Durham et al.	
AN	4,844,092	07/04/1989	Rydell et al.	
AO	4,900,184	02/13/1990	Cleveland	
AP	4,905,667	03/06/1990	Foerster et al.	
AQ	4,917,103	04/17/1990	Gambale et al.	
AR	4,927,418	05/22/1990	Dake et al.	
AS	4,928,693	05/29/1990	Goodin et al.	
AT	4,932,413	06/12/1990	Shockey et al.	
AU	4,946,443	08/07/1990	Hauser et al.	
AV	4,983,168	01/08/1991	Moorehead	
A W	4,988,356	01/29/1991	Crittenden et al.	
AX	4,997,421	03/05/1991	Palsrok et al.	

Examiner Initial	Document No.	Date	Name	Filing Date If Appropriate
AY	5,040,548	08/20/1991	Yock	
AZ	5,061,273	10/29/1991	Yock	
BA	5,064,414	11/12/1991	Revane	
BB	5,125,915	06/30/1992	Berry et al.	
BC	5,135,535	08/04/1992	Kramer	
BD	5,147,377	09/15/1992	Sahota	
BE	5,158,545	10/27/1992	Trudell et al.	
BF	5,167,634	12/01/1992	Corrigan, Jr. et al.	
BG	5,195,978	03/23/1993	Schiffer	
BH	5,205,822	04/27/1993	Johnson et al.	
BI	5,232,445	08/03/1993	Bonzel	
BJ	5,248,306	09/28/1993	Clark et al.	
BK	5,250,033	10/05/1993	Evans et al.	
BL	5,255,690	10/26/1993	Keith et al.	
BM	5,279,562	01/18/1994	Sirhan et al.	
BN	5,282,479	02/01/1994	Havran	
BO	5,290,232	03/01/1994	Johnson et al.	
BP	5,290,241	03/01/1994	Kraus et al.	
BQ	5,300,085	04/05/1994	Yock	
BR	5,306,247	04/26/1994	Pfenninger	
BS	5,308,318	05/03/1994	Plassche, Jr.	
BT	5,320,602	06/14/1994	Karpiel	
BU	5,324,259	06/28/1994	Taylor et al.	
BV	5,324,269	06/28/1994	Miraki	
B W	5,328,472	07/12/1994	Steinke et al.	
BX	5,334,143	08/02/1994	Carroll	
BY	5,334,187	08/02/1994	Fischell et al.	
BZ	5,350,395	09/27/1994	Yock	
CA	5,364,355	11/15/1994	Alden et al.	
CB	5,364,376	11/15/1994	Horzewski et al.	

Examiner Initial	Document No.	Date	Name	Filing Date If Appropriate
CC	5,370,623	12/06/1994	Kreamer	
CD	5,389,087	02/14/1995	Miraki	
CE	5,397,302	03/14/1995	Weaver et al.	
CF	5,451,233	09/19/1995	Yock	
CG	5,454,790	01/03/1995	Dubrul	
CH	5,458,584	10/17/1995	Ginn et al.	
CI	5,458,605	10/17/1995	Klemm	
CJ	5,462,530	10/31/1995	Jang	
CK	5,480,389	01/02/1996	McWha et al.	
CL	5,489,271	02/06/1996	Andersen	
CM	5,490,837	02/13/1996	Blaeser et al.	
CN	5,496,346	03/05/1996	Horzewski et al.	
CO	5,501,227	03/26/1996	Yock	
CP	5,531,700	07/02/1996	Moore et al.	
CQ	5,536,248	07/16/1996	Weaver et al.	
CR	5,540,236	07/30/1996	Ginn	
CS	5,599,299	02/04/1997	Weaver et al.	
CT	5,599,300	02/04/1997	Weaver et al.	
CU	5,613,949	03/25/1997	Miraki	
CV	5,626,600	05/06/1997	Horzewski et al.	
C W	5,706,827	01/13/1998	Ehr et al.	
CX	5,725,504	03/10/1998	Collins	
CY	5,788,681	08/04/1998	Weaver et al.	
CZ	5,800,414	09/01/1998	Cazal	
DA	5,833,706	11/10/1998	St. Germain et al.	
DB	5,843,028	12/01/1998	Weaver et al.	
DC	5,849,016	12/15/1998	Suhr	
DD	5,921,971	07/13/1999	Agro et al.	
DE	6,007,522	12/28/1999	Agro et al.	
DF	6,059,748	05/09/2000	Teirstein et al.	

Examiner Initial	Document No.	Date	Name	Filing Date If Appropriate
DG	6,096,009	08/01/2000	Windheuser et al.	
DH	6,109,487	08/22/2000	Duane et al.	
DI	6,152,910	11/28/2000	Agro et al.	
DJ	6,346,093	02/12/2002	Allman et al.	

FOREIGN PATENT DOCUMENTS

	Document No.	Date	Country	Translation Yes No
DK	DE 41 15 007 A1	11/12/1992	Germany	
DL	EP 0 328 760 A2	08/23/1989	EPO	
DM	EP 0 388 112 A2	09/19/1990	EPO	
DN	EP 0 792 657 A2	09/03/1997	EPO	
DO	EP 0 801 955 B1	10/22/1997	EPO	
DP	WO 92/03963	03/19/1992	PCT	
DQ	WO 96/33764	10/31/1996	PCT	
DR	WO 98/10820	03/19/1998	PCT	
DS	WO 98/10821	03/19/1998	PCT	
DT	WO 99/59664	11/25/1999	PCT	
DU	WO 00/69499	11/23/2000	PCT	
DV	WO 00/69500	11/23/2000	PCT	
DW	WO 01/66178	09/13/2001	PCT	

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

DX	Knecht, Gregory L., M.D. et al., "Double-Channel Fistulotome For Endoscopic Drainage of Pancreatic Pseudocyst", <u>Gastrointestinal Endoscopy</u> , Vol. 37, No. 3, May/June 1991, pp. 356-357.
DY	Siegel, Jerome H., M.D. et al., "Two New Methods For Selective Bile Duct Cannulation and Sphincterotomy", <u>Gastrointestinal Endoscopy</u> , Vol. 33, No. 6, December 1987, pp.438-440.

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.